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CF-16

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Philip M. Ginsberg
Application No.: 10/023,241 Confirmation No.: 3705
Filed : December 17, 2001
For : SYSTEMS AND METHODS FOR AUTOMATED
COMMISSION PROCESSING
Group Art Unit : 2162

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Commissioner for Patents
Washington, D.C. 20231

New York, New York
October 23, 2002

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TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Technology Center 2100

Sir:

Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This
Statement is submitted:

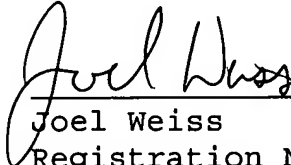
- ☐ within three months of the application filing
date;
- ☒ more than three months from the application
filing date but before the mailing date of
the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of
this Statement requires no fee. However, if for any reason
a fee is due, the Director is hereby authorized to charge
payment of any fees required in connection with this

Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,


Joel Weiss

Registration No. 44,398

Attorney for Applicant

FISH & NEAVE

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October 23, 2002

Liliana Garcia


Signature of Person Signing



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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicant wishes to call the attention of the Examiner to the
following references:

U.S. PATENTS

Fraser et al. 5,905,974 May. 18, 1999

A copy of the aforementioned reference, which is
listed on the accompanying Form PTO-1449 (submitted in
duplicate), is enclosed herewith. Applicant requests that a
copy of Form PTO-1449 (submitted in duplicate herewith), as

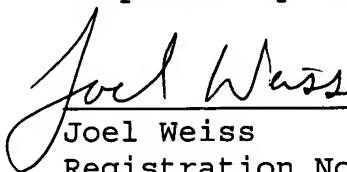
considered and initialed by the Examiner, be returned with the next communication.

In accordance with 37 C.F.R. § 1.98, applicant would also like to call the Examiner's attention to the following U.S. Patent Application enclosed herewith:

Fraser et al. No. 09/553,423 Apr. 19, 2000

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

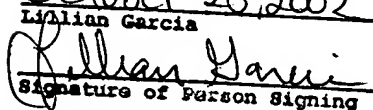


Joel Weiss
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October 23, 2002

Lillian Garcia


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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF-16APPLICATION
NO.
10/023,241INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANTS
Philip M. GinsbergCONFIRMATION
NO.
3705FILING DATE
12/07/2001GROUP
2162

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,905,974	05/18/1999	Fraser et al.	705	37	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

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EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.